

ORAL DTR GOVERNORS ASSESSMENT READINESS FORM

Use BLOCK letters when completing this form and please retain a copy for your records.

ORAL DTR GOVERNORS ASSESSMENT READINESS CHECKLIST:

MANDATORY EXAMINATION CHECKLIST ITEMS (please tick)

- Basis of Quotation – Primary Exchange v Chi-X No Basis of Quotation/ Special Markets
- Market Hours - Phases and Opens on the Two Exchanges./After Market
- Shorting Obligation - Client/Broker/Funds
- Crossings - How they are Executed and Reported to Individual Dealers
- Takeover - On-Market v Off-Market the Obligations and Procedures for Brokers
- Specials - Block/Portfolio/FSSRB

RANDOM EXAMINATION CHECKLIST ITEMS (please tick)

- Client Order Precedence - Understanding it/the DTRs Obligations
- Hybrids/ETFs/Warrants
- Layered Markets/Spoofing/Do's and Don'ts
- Errors - What to do when one Occurs
- Ethics/Etiquette - Repeating Orders/Reporting to Dealers/Order Handling Under Pressure from Salesdesk
- Cancellations/Disputes
- Indications from Market Makers/Warrants/ETFs

DECLARATION OF READINESS (to be completed by the Senior DTR):

I,, have provided
(insert name of senior DTR) (insert name of candidate)

with a minimum of three days experience in an operating environment and I am confident that he/she is fully prepared to attempt the Oral DTR Governors Assessment for Cash and Equities Products.

.....
(signature of candidate)

.....
(signature of senior DTR)

.....
(print full name)

.....
(print full name)

.....
(date)

.....
(date)